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USAWC MILITARY STUDIES PROGRAM PAPER

HUMANITARIAN ASSISTANCE/CIVIC ACTION FUNDING REQUIREMENTS
FOR SPECIAL OPERATIONS FORCES

AN INDIVIDUAL STUDY PROJECT

by

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U.S. Army War College
Carlisle Barracks, Pennsylvania 17013
7 March 1989

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ABSTRACT

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With Department of Defense's entry into the Humanitarian Assistance/Civic Action area, particularly in Central America, it faces many challenges. In particular, the use of properly appropriated funds to conduct these type missions and projects is paramount. This study seeks to examine why problems exist in funding and explore the reasons. Background of funding, the humanitarian assistance concept itself and Special Operations Forces missions are analyzed to give insight into DOD's involvement into what has historically been a State Department responsibility. Reasons for sensitivity and detailed oversight on behalf of the Congress and State Department provide insight into the statutes and controls imposed upon DOD. A look at the operational level where execution occurs sheds light on problems in organization, coordination, command relationships and planning. Finally, conclusions are drawn from this analysis and recommendations offered to correct the funding problem. (KR) ←



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HUMANITARIAN ASSISTANCE/CIVIC ACTION FUNDING REQUIREMENTS FOR SPECIAL OPERATIONS FORCES

CHAPTER I

PROBLEM STATEMENT

In 1984, the Comptroller General issued an opinion (63 Comp Gen 422) that Department of Defense's (DOD's) use of Operations and Maintenance (O&MA) funds in conducting Humanitarian Assistance (HA) and Civic Action (CA) missions during exercise AUHAUS TARA II violated federal funding statutes. Congress, State Department, and DOD have since struggled to define the funding parameters within which DOD must operate whenever HA/CA activities are conducted. Subsequent to the Comptroller General opinion, Special Operations Forces (SOF) have conducted HA/CA activities in contravention of existing statutes and continue to plan for future HA/CA missions. 1st Special Operations Command (1st SOCOM) requests an analysis of the funding requirements by which their subordinate units must comply whenever deployed on HA and/or CA missions.¹ This research paper will analyze the problems associated with and contributing to the funding requirements issue and provide recommendations.

ENDNOTES

1. Captain Steve Lamb, USA, Study Proposal, Title: Funding Requirements for Special Operations Forces.

CHAPTER II

ANALYSIS

BACKGROUND OF TITLE X FUNDING

The Comptroller General's opinion on AUHAUS TARA II initiated involvement in Title X funds. In early 1985 at the request of U.S. Commander-in-Chief, Pacific (USCINCPAC) and U.S. Commander-in-Chief, Southern Command (USCINCSOUTH), the Office of Humanitarian Assistance within the Office of the Assistant Secretary of Defense/International Security Affairs (OASD/ISA) began a study of a Defense Resource Board issue to determine the feasibility of conducting limited HA/CA activities in conjunction with military operations.² CINCs provided estimated funding requirements for use by Congress during the markup of legislation (TAB A).

The Defense Authorization Act for 1987 adopted legislation but Congress did not appropriate funds for the program.³ The Deputy Secretary of Defense (DEPSECDEF) reprogrammed funds within DOD in order to fund the CINC's initiatives. This reprogramming occurred in July 1987 for \$698,000 to accomplish all HA/CA activities for the two remaining months in FY 87.⁴ Use of these specific HA/CA funds are covered under Title X of the Defense Appropriation Acts and are hereafter referred to as Title X funds. Within DOD they are contained within the O&M Appropriation, Program 10-Support of other Nations.

Program Decision Number 52A approved funding for FY's 1988 and 1989. A November 1986 memorandum signed by the DEPSECDEF recommended programming and budgeting directly by the sponsoring Military Department for single service activities and by the Service Component acting as executive agent for their respective CINC.5

With the current increased emphasis throughout the Unified Commands on HA/CA, it becomes increasingly important that a cooperative attitude exist between CINCs and DOD to get the greatest benefit from limited resources. The HA/CA funding limitation for DOD is currently at \$16.4 million from FY 87 through FY 91.6 OASD/ISA manages these funds in support of CINC's requests to insure this sum is properly used and managed. New legislation deleting this cap is under consideration however, unless deleted, the program ends in FY 91. If continued without the Congressional cap, Title X programs become limited by budgeting constraints.7

At TAB B are the current CINC requirements for FY 90 through FY 94. At TAB C are the amounts funded. As can be seen, CINCSOUTH, the controlling CINC for 1st SOCOM operations in his area of responsibility, has Title X funds available to support HA/CA activities conducted by 1st SOCOM units.

HUMANITARIAN ASSISTANCE/CIVIC ACTION CONCEPT

The DOD Humanitarian Assistance program is a vital part of DOD's National Security strategy. The Unified Commands have a direct role in ensuring HA/CA activities are consistent with national security objectives within their regions of responsibility. Selected nations receive U.S. developmental assistance primarily for economic and social reasons. This assistance can result in improved security and the direct and immediate relief of human suffering. HA/CA assistance helps a nation's development as much as assistance in security matters. It allows the people of developing nations to learn skills and develop positive attitudes so they can more effectively help themselves.⁸

SOF MISSION AUTHORITY

The mission of SOF specifically defines their role in conducting humanitarian assistance operations. They are capable of conducting operations designed to improve the quality of life of the host nation population which then motivates them to support their government. They are also capable of conducting humanitarian relief operations such as distribution of food and medical supplies, sanitation services, and limited construction.⁹ Special Operations Forces Humanitarian Assistance Teams (SOFHAT) and their deployments to Honduras fulfill this mission. SOFHAT is

a humanitarian assistance type program utilizing military, medical, dental, veterinary, civic action, and psychological operations related skills for peacetime applications in the Third World. These skills are instructed to host nation personnel to assist them in eventually undertaking similar unilateral projects.¹⁰

SOFHAT elements have already made two (2) deployments to Honduras (SOFHAT I, Jan-Feb 88; SOFHAT II, Feb-Mar 88) with current plans for additional iterations.¹¹ Future SOFHAT operations are pending until the funding issue as well as other operational issues are resolved.

The SOFHAT program is an excellent concept that SOF units can and should execute in Third World countries. In addition to the humanitarian benefits provided the indigenous population and government, the popular support generated for the United States, SOFHAT offers an excellent training opportunity for U.S. military personnel that cannot by law, in some cases, be duplicated in CONUS.

¹²

STATE DEPARTMENT PERSPECTIVE

DOD's expanding role in humanitarian and civic assistance can and has conflicted with Department of State's traditional responsibility and funding for administering all foreign assistance programs.¹³ Until Title X funds were made available, DOD's hands were essentially tied in this area. There are various reasons why reluctance within the State Department exists. In addition to the traditional roles and responsibilities of State, there are fears that DOD will not fully coordinate activities with appropriate in-country State Department officials. There exists the potential for duplication of effort, misdirected effort, and even long term commitments that place an additional burden on the United States government. An example of the latter is the construction of a road that would require long term repair and maintenance.¹⁴ While these concerns have impeded DOD's entrance into the humanitarian and civic assistance arena, the Memorandum of Understanding between DOD and State (TAB D) is an excellent beginning.

USSOCOM ORGANIZATION

That USSOCOM is a relatively new Unified Command has contributed in part to the problem. Staff maturity in understanding processes and procedures requires time and experience to develop. The exact responsibilities and missions of USSOCOM continue to evolve in many areas, particularly in the

fiscal arena. Compounding this is that DOD's involvement in HA/CA activities is also relatively new. Along similar lines, 1st SOCOM, a subordinate command of USSOCOM, is undergoing transition to full MACOM status.¹⁵ Many of the missions and functions formerly the responsibility of FORSCOM are transitioning to the 1st SOCOM staff. SOF units within SOCOM that have conducted SOFHAT exercises have not always fully coordinated these missions.¹⁶ In their eagerness to take advantage of excellent training opportunities, a thorough understanding of proper procedures, particularly when dealing in the complexities of fiscal law, is not evident. Group and battalion staffs are not manned nor do they normally possess the expertise in this area. Until the entire organization of USSOCOM has fully developed and matured, top to bottom, problems of this nature are likely to occur. This is not to infer that they should go uncorrected, but is a recognition of the realities associated with a major force structure reorganization.

COMMAND RELATIONSHIPS

The command structure and coordinating lines between CINC SOUTHCOM and CINC USSOCOM has also contributed to the problem. 1st SOCOM SOF units are under the command of CINC USSOCOM. When conducting SOFHAT activities in Honduras, they are in CINC SOUTHCOM's area of responsibility and under the operational

control of Joint Task Force-Bravo (JTF-B). JTF-B has responsibility to coordinate their activities with CINC SOUTHCOM who originally requested the exercise and with host nation country officials to include U.S. country team authorities. Often, coordination by-passes some of the responsible headquarters and proper procedures are not consistently followed.¹⁷ (TAB E)

FUNDING CHANNELS

Humanitarian Assistance/Civic Action Title X funds go directly to the CINCs through the service component that acts as executive agent for the respective CINC. In the case of CINC USSOCOM, Title X funds are not currently allocated because CINC USSOCOM has no defined geographical area of responsibility. The final determination of Program 11 authority has not been made and it is not anticipated that Title X funds will be included.¹⁸

The 1st SOCOM Resource Management Office (RMO) does not receive any Title X funds for HA/CA missions.¹⁹ A breakout of current funding provided 1st SOCOM is at TAB F. With 1st SOCOM's transition to a MACOM within the next two years, it is also not anticipated that Title X funds for HA/CA missions will be incorporated within their funding authority.

With this funding arrangement, 1st SOCOM units can only receive Title X funds from the CINC whose area they are conducting HA/CA missions in - in this case CINC SOUTHCOM. While Title X funds are made available to CINC SOUTHCOM, SOUTHCOM must request authority to obligate these funds through the OASD/ISD office before obligations can be made. At TAB G is the format for requesting permission to expend Title X funds.

CONGRESSIONAL SENSITIVITY

There is political sensitivity within the Congress as to U.S. military involvement in Latin and Central America as evidenced by the Iran-Contra affair. This sensitivity and concern has increased Congressional oversight of DOD's participation in any and all activities in this part of the world. Even with the relatively small amount of money appropriated for DOD HA/CA activities, Congress requires a report to be submitted annually (1 March) on the expenditure of these funds.²⁰ This adds to the complexity of the bureaucratic processes involved in the management and use of these funds. As an added comment, spontaneity is no longer a possibility for U.S. military personnel in-country to assist the host nation population because of the restrictive nature and sensitivity of these activities.

CONGRESSIONAL STATUTES

When the primary purpose of a deployment to a Third World country is training, authorization to use normal O&MA training funds exists. Incidental expenses can occur for HA/CA activities but they must result from "normal" training exercises and activities. While there is no general authority to freely conduct HA/CA activities with O&MA funds, it is understood that military organizations have inherent authority to carry out training which "incidentally" may result in civic or humanitarian benefit.

The exact Congressional statutes that govern the proper use of Title X funds by DOD has evolved over time and is found in various public laws. The legal constraints and policies regarding Humanitarian and Civic Assistance activities are segregated into six categories and summarized as follows:

- (1) Title X HA/CA Authority (O&MA funds)
- (2) Stevens Amendment Authority (O&MA funds)
- (3) De Minimus Expenditures
- (4) Denton Amendment Authority
- (5) Title X Amendment

1. HUMANITARIAN AND CIVIC ASSISTANCE (H/CA) DEFINED:21

- Medical, dental, and veterinary care provided in rural areas of a country;
- Construction of rudimentary surface transportation systems;
- Well drilling and construction of basic sanitation facilities;
- Rudimentary construction and repair of public facilities.

2. TITLE X H/CA AUTHORITY: 22 23

- Conducted in conjunction with authorized military operations of the armed forces.
- Must promote security interests of both U.S. and host nation (HN).
- Must promote specific operational readiness skills of U.S. forces.
- May not be provided, indirectly or directly, to any individual, group, or organization engaged in military or paramilitary activity.
- H/CA must complement and not duplicate any other form of social or economic assistance provided to the HN by the US; it must serve the basic economic and social needs of the people of the HN.
- SECSTATE must specifically approve the H/CA.
- Not restricted to JCS directed, coordinated or approved exercises.
- Must be paid for out of funds specifically appropriated for H/CA.
- Approval process:
 - AOR CINC coordinates with HN country team.
 - AOR CINC submits proposal to OSD (USDP/ASD(ISA)/DIR H/CA).
 - ASD(ISA) gets USAID concurrence and SECSTATE approval.
 - ASD(ISA) approves H/CA proposal for SECDEF.
- Funding:
 - ASD(ISA) allocates from "fenced" funds based upon AOR CINC's plans.
 - AOR CINC seeks funding through POM process from fiscal agent.

3. STEVENS AMENDMENT AUTHORITY. 24

- Same requirements as above, but restricted to JCS directed, coordinated, or approved exercises.
- AOR CINC approves use of O&MA funds for H/CA and authorizes use of O&MA exercise funds.
- % of time and \$ spent on H/CA is low relative to overall exercise cost (10-15% guideline).
- Overall purpose and result of exercise must be training.

4. DE MINIMUS EXPENDITURES. 25

- Congress exempted the costs associated with "de minimus activities" from the requirements of prior approval, separate financing, and annual reporting in the interests of reducing paperwork.

- Limited to activities that have been "commonplace on foreign exercises for decades."

Examples:

- A unit doctor's examination of villagers for a few hours with the administration of several shots and the issuance of some medicines, BUT NOT dispatch of a medical team for mass inoculations.

- Opening of an access road through trees and underbrush for several hundred yards, BUT NOT to include asphaltting of any roadway.

- Source: Conference Report: FY87 DOD Auth. Act, pp. 467-468.

5. DENTON AMENDMENT.26

- SECDEF may transport, without charge, on a space available basis only, humanitarian relief supplies furnished by a nongovernmental source for humanitarian assistance.

- SECDEF must determine that:

- Transportation of such supplies is consistent with U.S. foreign policy.

- Supplies must be in useable condition and suitable for H/CA purposes.

- Adequate arrangements have been made for distribution within HN.

- Supplies must be inspected prior to transport.

- Donor responsible that supplies are suitable for transport.

- Distribution may be by U.S. agency, foreign government, international organizations, or a private nonprofit relief organization.

- Supplies may not be distributed, directly or indirectly, to any individual, group, or organization engaged in a military or paramilitary activity.

6. TITLE X AMENDMENT. 27

-SECDEF may pay the incremental expenses incurred by a developing country as a direct result of its participation in a bilateral or multilateral military exercise with the U.S.

-SECDEF must determine that:

-Exercise is undertaken primarily to enhance security interests of U.S.

- Foreign participation is necessary to achieve fundamental objectives of the exercise.

-Objectives cannot be achieved unless U.S. provides incremental expenses incurred by that country.

- "Incremental Expenses" means reasonable and proper cost of goods and services consumed by a developing country as a direct result of participation in the exercise.

- Includes rations, fuel, training ammunition, transportation.

- Does not include pay, allowances, and other normal costs of country's personnel.

- Source: Conference Report: FY87 DOD Auth. Act, p.179.

The separate authorizations outlined above represent the evolution of DOD's ability to conduct HA/CA activities in conjunction with military operations and exercises. Each authority is unique, although not necessarily mutually exclusive of the others. While these type activities produce significant civic and humanitarian assistance, they require detailed planning and accounting procedures. There are other situations and applicable statutes which involve HA/CA activities, particularly on a reimburseable basis, which are beyond the scope of this paper.

ENDNOTES

2. Office of Humanitarian Assistance, Office of the Assistant Secretary of Defense/International Security Affairs, Title 10 Funding.

3. Ibid.

4. Ibid.

5. Ibid.

6. Ibid.

7. Interview with George A. D'Angelo, LTC, USAF, Office of Humanitarian Assistance, Office of the Assistant Secretary of Defense/International Security Affairs, Washington, 23 January 1989.

8. Headquarters, Department of the Army, Department of the Air Force, Field Manual 100-20, Annex A.

9. U.S. Department of the Army, TRADOC Pam 525-34, p.8.

10. Andrew G. Gembara, LTC, USA, Memorandum For: BG(P) Downing, Director, USSOCOM-WO, Subject: SOFHAT Mission-Honduras.

11. Message, Subject: SOFHAT Problem Brief to JTF-BRAVO Commander, dtg: 0421Z Nov88.

12. Interview with former officer of SOCOM Surgeon Office, Ft. Bragg, N.C., 25 January, 1989.

13. Office of Humanitarian Assistance, Third Annual Department of Defense Humanitarian Assistance Conference, pg.2.

14. Interview with Mr. Tony Auletta, PSYOP/CIVIL AFFAIRS Division, Operations, Readiness, Mobilization Directorate, DCSOPS, Washington, 23 January, 1989.

15. Interview with Daniels, LTC(P), USA, 1st SOCOM Resource Management Office, Ft. Bragg, N.C., 25 January, 1989.

16. Interview with Jacobelly, Col., USA, Commander, 7TH Special Forces Group(A), Ft. Bragg, N.C., 25 January, 1989.

17. Ibid.

18. Interview with MS. Patricia Warhurst, Army Budget Office, Secretary of the Army, Financial Management, Program 11, Washington, 23 January, 1989.

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19. Funding Authorization Document, Issued by Comptroller of the Army to Commander SOCOM, 26 September, 1988, Effective 1 October, 1988.

20. Office of Humanitarian Assistance, Third Annual Department of Defense Humanitarian Assistance Conference, p.2.

21. U.S. Laws, Statutes, etc. United States Code, Title 10, sec, 401e.

22. U.S. Laws, Statutes, etc. United States Code, Title 10, sec, 401.

23. U.S. Congress, FY88 DOD Appropriations Act (PL 100-202), sec, 8063.

24. U.S. Congress, FY88 DOD Appropriations Act (PL 100-202), sec, 8063, (hereafter referred to as the Stevens Amendment).

25. U.S. Laws, Statutes, etc. United States Code, Title 10, sec, 401c(2), (hereafter referred to as De Minimus Expenditures).

26. U.S. Laws, Statutes, etc. United States Code, Title 10, sec, 402, (hereafter referred to as the Denton Amendment).

27. U.S. Laws, Statutes, etc. United States Code, Title 10, sec, 2010.

CHAPTER III

CONCLUSIONS

-Congressional oversight and management will continue to be the norm. Congressional statutes which narrowly define what are proper and justified humanitarian assistance and civic action projects will continue to place tight controls on the use of these funds. This detailed oversight mandates that users of these funds fully justify the need for and benefit derived from these monies. All DOD agencies must understand the proper procedures and policies governing their use. Discontinuance by Congress to preclude DOD's involvement in the HA/CA area is a strong possibility if the laws are not followed and procedures adhered to.

- DOD has made excellent progress in establishing a positive and responsive HA/CA program for the CINCs. The recently held third annual conference (Jan 89) serves to insure that all players and responsible agencies are fully appraised of the laws and intent of Congress. DOD has provided the procedures and adequate guidance on the use of HA/CA funds. This should prevent any reoccurrence of violations as identified by the Comptroller General in 1984.

- The growing role of CINCs which enables them to expand their cooperation with friendly governments will certainly continue to emphasize HA/CA projects in the future-appropriate funding is currently available and the procedures for its use are specified.

- As USSOCOM's organization and missions evolve over time, responsibilities and resulting procedures will become better defined. Experience of the respective staffs from the headquarters down will solve many of the coordination problems that exist today. Coordination between CINCs will also improve.

- SOF missions, responsibilities, and capabilities fully support their involvement in the humanitarian assistance and civic action programs of the U.S. government. Their activities must be executed in full coordination with the host nation government and U.S. officials charged with the overall responsibility for security assistance.

- Laws and resulting procedures for the use of Title X funds in support of DOD's humanitarian assistance and civic action missions are in place. Following these procedures in the future should prevent the reoccurrence of the 1984 violation as identified by the Comptroller General's opinion.

CHAPTER IV

RECOMMENDATIONS

- That the Office of the Assistant Secretary of Defense/International Security Affairs should continue to emphasize with Congress the benefits derived from DOD's involvement in HA/CA projects. Increased funding past FY 91 as well as ongoing efforts to lift the current cap should be pursued in coordination with Department of State.

- That an overall program and resulting document should be developed that thoroughly outlines the SOFHAT program. This official document should outline strategic goals, objectives, projects, concept of implementation, responsibilities, and identification of proponentcy. It should specifically identify what agencies are responsible for what actions and the coordination channels that must be followed. A draft DOD HA/CA directive (TAB H) would provide an excellent framework for a similar document at the operating level. The following agencies are recommended to be responsible for the following actions: 28

(1) USCINCSOUTH:

(A) Establishes SOFHAT with program approval authority.

(B) Provides guidance to all concerned: country strategy, objectives, and implementation instructions.

(C) Provides funding levels for execution.

(2) USCINCSOUTH (SOC SOUTH):

- (A) Coordinates funding.
- (B) Reviews annual SOFHAT program.
- (C) Requests SOF operating agency to execute approved program through USSOCOM.
- (D) Conducts annual assessment of programs to determine if objectives are being met.

(3) JTF-BRAVO:

- (A) Acts as planning authority for SOFHAT program.
- (B) Develops/plans humanitarian assistance program for Honduras. SOFHAT is one part of program.
- (C) Identifies staff (J5) focal point for program.
- (D) Coordinates program(s) with host country officials and U.S. country team authorities. Acts as principle interface agency for coordination during planning/implementation phase.
- (E) Coordinates selection of target areas/projects with Honduran agencies. Develops scope of work and resource/funding requirements.
- (F) Develops Title X funding request/forwards to USCINCSOUTH for approval. USCINCSOUTH submits program to OASD/ISD for approval.
- (G) Briefs program requirements to Honduran officials, country team authorities, and USCINCSOUTH for approval.
- (H) Requests to USCINCSOUTH for operating agency to implement program.
- (I) Assumes OPCON of implementing unit during conduct of SOFHAT.

(4) USSOCOM:

(A) Validates/approves requests; forwards request to 1st SOCOM for tasking.

(5) 1st SOCOM:

(A) Validates/approves tasking, if mission is METL related. Tasks operating agencies with requirements.

(B) Identifies one SOF agency as the operating agency for implementation.

(C) Obtains support from outside agencies to meet operating agency requirements.

(D) Reviews/approves operating agency concept of execution.

(6) 7th SFG(A):

(A) Acts as the operating agency for all SOF activities in Honduras. SOFHAT is one of the SOF activities.

(B) Develops/briefs for approval: Plan of execution.

(C) Conducts site survey of target/project area. Recommends changes as necessary.

(D) Determines personnel and equipment requirements. Requests from 1st SOCOM all requirements that can not be filled with internal assets.

(E) Coordinates w/JTF-B for all host nation involvement in program.

(F) Submits all recommended changes in program/funding to JTF-B for approval.

(7) 96th Civil Affairs Bn/4th PSYOP Group: Provides supporting agencies to 7th SFG(A) for conduct of SOF activities.

- That because of the sensitivity of SOFHAT programs, the SJA and RMO from both 1st SOCOM and USCINCSOUTH must be involved. They should, in coordination, develop an internal controls program and checklist for commanders to insure HA/CA projects remain within Congressional statutes. With the complexity of fiscal law, it is necessary that the technical expertise of these staffs review and concur in the program before execution.

A final comment on the Congressional statutes is in order. The legislative history of the various provisions already stresses the limited nature of DOD's authority. I am not convinced DOD should ask Congress to consider providing more explicit guidance because some of the laws are ambiguous and thus open for different interpretations. At the execution level, different interpretations can result in violations. Explicit guidance on the other hand may result in restrictions that destroy the very essence of the program.

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16. U.S. Laws, Statutes, etc. United States Code. Title 10. sec. 401.
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18. U.S. Congress. Department of Defense Appropriations Act for 1988. Public Law 100-202, sec. 8063. Stevens Amendment.
19. U.S. Laws, Statutes, etc. United States Code. Title 10. sec. 401c(2). De Minimus Expenditures.
20. U.S. Laws, Statutes, etc. United States Code. Title 10. sec. 402. Denton Amendment.
21. U.S. Laws, Statutes, etc. United States Code. Title 10. sec. 2010.
22. Message. Subject: SOFHAT Implementation Proposal. From CDR, 7th Special Forces Group(A), To: CDR, 1st SOCOM, Ft. Bragg, N.C. Dtg: 111500 Z October 1988.
23. Weber, USAWC Faculty. Personal Interview. Carlisle, PA: February 24, 1989.

ORIGINAL ESTIMATES FOR TITLE 10
PROGRAMS - FALL 1985

<u>H/CA</u>	<u>FY 1988</u>	<u>FY 1989</u>	<u>FY 1990</u>	<u>FY 1991</u>	<u>TOTAL</u>
SOUTHCOM	2,550	2,450	2,350	2,350	
EUCOM	80	85	85	85	
PACOM	436	472	522	576	
LANTCOM	268	290	312	336	
CENTCOM	<u>139</u>	<u>87</u>	<u>139</u>	<u>87</u>	
TOTALS	3,473	3,384	3,408	3,434	13,699

PERSONAL
EXPENSES

EUCOM	175	180	185	185	
PACOM	582	647	711	808	
CENTCOM	<u>267</u>	<u>222</u>	<u>267</u>	<u>222</u>	
TOTALS	1,024	1,049	1,163	1,215	4,451

BILATERAL
EXERCISES:

SOUTHCOM	1,200	1,000	1,000	1,000	
EUCOM	400	400	30	30	
PACOM	217	238	262	288	
LANTCOM	421	443	466	490	
CENTCOM	<u>75</u>	<u>2,500</u>	<u>75</u>	<u>--</u>	
TOTALS	2,313	4,581	1,833	1,808	10,535

CINC REQUIREMENTS
(IN THOUSANDS)

	90	91	92	93	94
SOUTHCOM (ARMY)					
H/CA	3,500	3,500	3,500	3,500	3,100
CE	<u>1,000</u>	<u>1,000</u>	<u>800</u>	<u>1,200</u>	<u>1,200</u>
	4,500	4,500	4,300	4,700	4,700
EUCOM (ARMY)					
H/CA	450	450	475	475	475
PE	140	150	210	210	215
CE	<u>302</u>	<u>300</u>	<u>450</u>	<u>450</u>	<u>450</u>
	892	900	1,135	1,135	1,140
PACOM (NAVY)					
H/CA	1,506	1,656	1,748	1,811	1,936
PE	524	527	523	533	538
CE	<u>1,416</u>	<u>1,606</u>	<u>1,517</u>	<u>1,436</u>	<u>1,490</u>
	3,446	3,789	3,788	3,780	3,964
LANTCOM (NAVY)					
H/CA	461	334	334	333	415
CE	<u>311</u>	<u>464</u>	<u>464</u>	<u>462</u>	<u>575</u>
	772	798	798	795	990
CENTCOM (AIR FORCE)					
H/CA	580	350	650	350	650
PE	180	210	180	210	180
CE	<u>1,330</u>	<u>477</u>	<u>1,330</u>	<u>516</u>	<u>1,330</u>
	2,090	1,037	2,160	1,076	2,160

TAB B

* ADVISE YOUR COMMAND COMPTROLLER AND LT COL D'ANGELO OF ANY CHANGES TO THESE REQUIREMENTS AS SOON AS THEY ARE KNOWN.

11 JANUARY 1989

FUNDING

	1990	1991	1992	1993	1994
ARMY					
SOUTHCOM	2,578	2,600	2,600	2,600	2,600
EUCOM	892	900	900	900	900
TOTAL	<u>3,480</u>	<u>3,500</u>	<u>3,500</u>	<u>3,500</u>	<u>3,500</u>
NAVY					
PACOM	3,446	3,789	3,788	3,780	3,964
LANTCOM	772	798	798	795	990
TOTAL	<u>4,218</u>	<u>4,587</u>	<u>4,586</u>	<u>4,575</u>	<u>4,954</u>
26 AIR FORCE	3,754	3,972	2,160	1,076	2,160

TAB C



THE ASSISTANT SECRETARY OF DEFENSE

WASHINGTON, D. C. 20301-2400

JUL 10 1987

INTERNATIONAL
SECURITY AFFAIRS

MEMORANDUM OF UNDERSTANDING BETWEEN THE DEPARTMENT OF
DEFENSE (DoD), DEPARTMENT OF STATE (DoS) AND THE
AGENCY FOR INTERNATIONAL DEVELOPMENT (AID) TO COORDINATE
HUMANITARIAN AND CIVIC ASSISTANCE IN CONJUNCTION WITH A
MILITARY OPERATION

PURPOSE: This memorandum establishes responsibilities and procedures to be followed by the participating executive agencies to assure proper coordination and approval of humanitarian assistance (H/CA) in conjunction with military operations and exercises as authorized under Title 10, USC, Chapter 20, Part 1, Subtitle A and from DoD funds appropriated for these purposes.

DoD will:

- a. require the appropriate CINC to obtain the comments and approval of the country team (including specifically the AID representative) in the early stages of planning for H/CA.
- b. require the CINC to submit his final plan, as coordinated with the country team (including its advice as to whether or not the activities will complement, but not duplicate, or otherwise conflict with the economic and social programs of other USG agencies), to DoD for final approval and coordination.
- c. provide information to DoS and AID assuring the provisions of 10 USC, Section 401 and 405 are satisfied.
- d. seek review and approval by the DoS, Bureau of Politico-Military Affairs and AID's Bureau for Program and Policy Coordination for a final plan which incorporates the advice and comments of the country team for H/CA in conjunction with military operations.
- e. transmit approval to the CINC.
- f. draft and coordinate required Congressional reports with DoS/PM and AID.
- g. submit reports to Congress by 1 March of all H/CA activities carried out in the previous fiscal year.

DoS will relay the Secretary of State's approval/disapproval directly to ASD/ISA and AID/PPC.

AID will:

- a. ensure that AID field officers, as part of the Country Team, review proposed H/CA plans and provide comments to CINC on whether, in the view of the AID field officers in the country involved, the proposed activities would complement, duplicate, or otherwise conflict with any form of social and economic assistance provided to such country by AID;
- b. coordinate through AID's Bureau for Program and Policy Coordination (PPC), the development of an Agency position on whether the proposed H/CA activities will meet the standard specified above, and whether the Agency approves or disapproves of such activities;
- c. forward comments and approval to ASD/ISA and DoS/PM; and
- d. coordinate review of all required congressional reports.

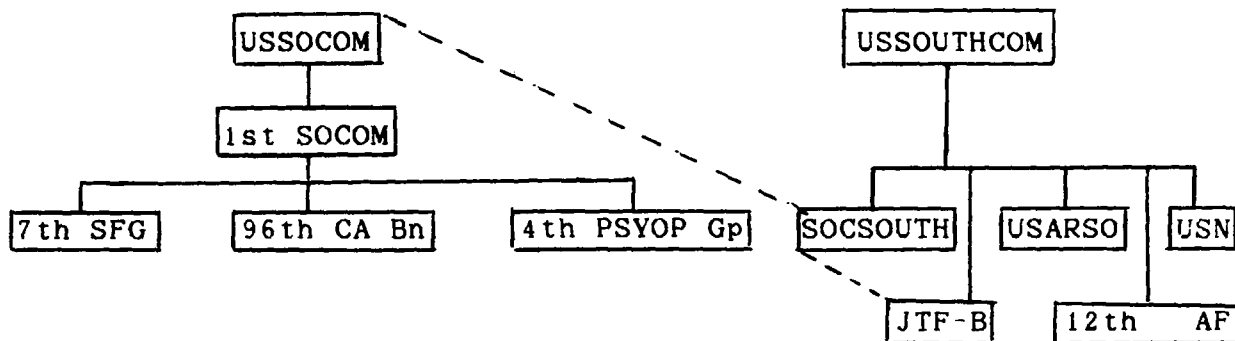
This Memorandum of Understanding will remain in effect until rescinded or otherwise altered by agreement of all parties.

[Signature]
Department of Defense
ASD/ISA

[Signature]
Department of State

[Signature]
Agency for International Development

USSOCOM/USSOUTHCOM
ORGANIZATION AND RELATIONSHIPS
(ABBREVIATED)



NOTES:

USSOCOM- United States Special Operations Command
 1st SOCOM- 1st Special Operations Command
 7th SFG- 7th Special Forces Group
 96th CA Bn- 96th Civil Affairs Battalion
 4th PSYOP Gp- 4th Psychological Operations Group
 USSOUTHCOM- United States Southern Command
 SOCSOUTH- Special Operations Command, South
 USARSO- United States Army, South (Army component)
 USN- United States Navy, South (Navy component)
 JTF-B- Joint Task Force-Bravo (Honduras)
 12th AF- 12th Air Force (Air Force component)
 _____ Command
 ----- Coordination

1ST SOCOM FY 89 FUNDING
(as of Jan 1989)

<u>APPROPRIATION</u>	<u>PROGRAM</u>	<u>AMOUNT</u>	<u>SOURCE</u>
O&MA	P11,P8,P2	\$49,791,000	DA
OMAR	P11	\$14,872,000	DA
RPA	--	\$17,081,000	FORSCOM
JCS EX	P2,P11	N/A	XVIII CORPS

Notes:

O&MA-Operations & Maintenance, Army
 OMAR- Operations & Maintenance, Army Reserve
 RPA- Reserve Personnel, Army
 JCS EX- Joint Chiefs of Staff Exercises
 P11-Program 11, Special Operations Forces
 P8- Program 8, Training,Medical, and Other General Personnel
 Activities
 P2- Program 2, General Purpose Forces
 DA- Department of the Army
 FORSCOM- Forces Command
 XVIII CORPS- XVIII Airborne Corps

HUMANITARIAN AND CIVIC ASSISTANCE (H/CA)
UNIFIED COMMAND PROJECT NOMINATION AND JUSTIFICATION FORMAT

H/CA projects should be submitted in priority order. Information required is outlined below:

A. Recipient country:

B. Description and location of project:

C. Dates of Project:

D. Type and size of Unit (or units) conducting the activity:

E. U.S. dollar cost of consumables:

F. Justification:

1. How H/CA activity serves interests of both US and host country:

2. How H/CA activity promotes specific operational readiness/skills
of members of Armed Forces participating in activity:

G. Country Team coordination:

1. Statement regarding concurrence of US Ambassador and AID Director:

2. That the H/CA activity complements but does not duplicate or

otherwise conflict with economic or social programs of other USG Agencies.

H. Points of contact (POCs)

1. CINC's POC and phone number (Autovon, if available)
2. AID official who coordinated the project with phone number.



Department of Defense DIRECTIVE

NUMBER

SUBJECT: Humanitarian and Civic Assistance Provided in Conjunction With Military Operations

References: (a) Title 10, United States Code, Chapter 20, Section 401

(b) DoD Directive 7045.14, "The Planning, Programming and Budgeting System," May 22, 1984

(c) DoD Instruction, 7045.7, "Implementation of the Planning, Programming, and Budgeting System, May 23, 1984

(d) Deputy Secretary of Defense Memorandum, "Unified Commanders' Conduct of Cooperative Programs with Friendly Nations," November 20, 1985

(e) Executive Secretary to the Defense Resources Board (Programming Phase), "Review of CINC Participation in DoD Program Formulation," October 1985

A. PURPOSE.

This Directive:

1. Establishes Department of Defense (DoD) policy for the conduct of humanitarian and civic assistance (H/CA) activities in conjunction with military operations under Reference (a).

2. Provide procedures for requesting and gaining approval within DoD and from the Department of State (DoS) and Agency for International Development (AID), and the reporting of all such activities.

B. APPLICABILITY AND SCOPE.

1. The provisions of this Directive apply to the Office of the Secretary of Defense, the Military Departments (including their Reserve components), the Organization of the Joint Chiefs of Staff (OJCS), the Unified Commands and DoD field activities.

2. The Assistant Secretary of Defense/International Security Affairs (ASD/ISA) shall serve as the single point of contact with other executive Agencies unless otherwise stated herein.

3. This Directive does not apply to de minimus activities as defined in Enclosure 1.

C. DEFINITIONS.

Terms used in this Directive are defined in Enclosure 1.

D. POLICY. It is DoD policy that:

1. H/CA activities must promote the following:

a. The security interests of both the United States and the country in which the activities are carried out.

b. The specific operational readiness skills of the armed forces who participate in the activities.

2. H/CA activities carried out under this Directive shall complement, but not duplicate, any other social or economic assistance that may be provided to the country concerned by any other U.S. Department or Agency. Such activities shall serve the basic economic and social needs of the people of the country concerned. They should have the support of civilian leadership, benefit a wide spectrum of the community, and once completed, where appropriate, be self-sustaining or supportable by host nation civilian or military agencies.

3. H/CA carried out under Reference (a) may not be provided (directly or indirectly) to any individual, group, or organization known to be engaged in military or paramilitary activity.

4. H/CA projects or activities in any foreign country require the specific prior approval of the Secretary of State for such assistance.

5. De minimus activities do not require the approval of either the ASD/ISA or the Secretary of State.

E. RESPONSIBILITIES.

1. The Assistant Secretary of Defense/International Security Affairs (ASD/ISA) shall:

a. Act as program manager for the H/CA program.

b. Host an annual 5-Year Planning Conference during the second quarter of the fiscal year prior to the start of the Program Objectives Memoranda (POM) cycle, to review Unified Command proposed H/CA activities. This conference will be attended by Unified Command, ISA Regional, JCS and Military Department representatives.

c. Ensure that all proposed activities meet the policy requirements of this Directive (paragraphs D.1-5 above). See also Enclosures 2 and 3.

d. Upon completion of DoD coordination and approval, ASD/ISA shall present the DoS with planned H/CA activities.

e. Publish a 5-year H/CA plan for OSD.

f. Provide DoD approval for all H/CA activities (including funding levels) held in conjunction with authorized military operations, except de minimus activities.

g. Inform the ASD/Reserve Affairs of activities which include Reserve Forces participation, as appropriate.

h. Obtain approval of the Secretary of State for all H/CA programs, except de minimus activities, and coordinate such activities with the DoS and AID.

i. Oversee and approve obligations for all H/CA activities, except de minimus activities. Ensure that all H/CA funds are obligated in accordance with approved allocations, and recommend reprogramming, as necessary. Ensure that con-

gressionally mandated ceilings on H/CA activities are not exceeded on a multi-year basis.

j. Address emergent high priority H/CA projects submitted by the Unified Commands. The ASD/ISA approval process will ensure that the H/CA program has the flexibility to meet local humanitarian needs and operational requirements of military operations vis-a-vis "projects of opportunity." See also discussion under paragraph F.2. below.

k. Submit an annual report to Congress by 1 March on all H/CA activities conducted during the prior fiscal year in accordance with Reference (a).

2. The Commanders-In-Chief of Unified Commands shall:

a. Develop H/CA requirements based on OSD guidance.

b. Obtain component input to refine requirements for H/CA projects.

c. Submit program requirements to OJCS and ASD/ISA with rationale and estimated costs by 31 January for H/CA projects for the next five years.

Include a general narrative description and cost estimates of types of projects or specific projects (if known) for the 5-year plan in sufficient detail that ASD/ISA can make a reasonable projection of H/CA project priorities for the 5-year planning cycle. It is expected that the level and detail will be much greater for projects projected for 1-2 years, and more generic for later years.

d. Submit emergent high priority project requirements that have arisen

since development of the 5-year plan by message to ASD/ISA for consideration and approval.

e. Submit quarterly after-action reports to OJCS and ASD/ISA of actual expenses incurred, an assessment of objectives achieved, and recommendations for future improvements for H/CA projects within 90 days of the end of each quarter in the format described in Enclosure 3. Report should also provide a general description of de minimus activities conducted in association with H/CA projects.

3. The Chairman of the Joint Chiefs of Staff (CJCS) shall:

a. Review budget year and 5-year Unified Command H/CA program plans and assessments.

b. Coordinate Service response and recommend priority for funding to ASD/ISA. Advise ASD/ISA of service supportability for program requirements.

c. Review emergent high priority projects submitted by Unified Commands and make recommendations, as above.

d. Review and forward JCS exercise after-action reports and post-year analyses from Unified Commands to ASD/ISA.

4. The Secretaries of the Military Departments shall:

a. Advise ASD/ISA and OJCS of H/CA program supportability.

b. Budget for approved Unified Command's H/CA programs.

c. Provide obligation data to ASD/ISA by 31 December of all H/CA activities accomplished in the prior fiscal year.

d. Provide procedures for payment of expenses incurred under this authority.

F. PROCEDURES.

1. Long Rang Planning, and Budgeting.

Planning, programming, and budgeting for H/CA activities will be conducted in accordance with References (b) and (c) within the following additional guidelines established by Reference (d).

a. Unified Commanders will plan H/CA activities in conjunction with their 5-year planning cycle. Projects shall be coordinated closely with the Country Team before submission to OJCS, and ASD/ISA. A conference hosted by the ASD/ISA shall be held to review such activities. Approval of out-year activity shall be based on information presented at that time. A review of programs already coordinated and approved shall occur at the conference, which should be convened during the first quarter of each calendar year.

b. For H/CA activities in support of a Unified Commander, funding for such activities will be programmed and budgeted by the Service component designated as the Unified Command's executive agent through its Military Department. Once appropriated, these funds will be obligated by executive agents at the direction of the Unified Commander. Changes in requirements may

necessitate transferring funds from the Service acting as an executive agent to its Service components.

c. Program requirements for H/CA activities shall be communicated by the Unified Commanders to Military Departments via Service components utilizing the established procedures and schedule through which Unified Commanders identify other requirements for inclusion in Program Objective Memoranda. The Unified Commanders may, if they wish, also include requirements for H/CA activities in the Integrated Priority List of priority program requirements submitted annually to the Secretary of Defense, Deputy Secretary of Defense, and CJCS as directed by Reference (c).

d. Unified Commanders may seek review of H/CA program levels proposed in the POM utilizing the procedures specified in the Program Review Instructions, which are promulgated by the Executive Secretary to the Defense Resources Board (Programming Phase) in advance of each program cycle. (See Reference (e)).

e. Unified Commanders shall notify ASD/ISA of major changes in project scope or timing of already approved H/CA projects. If the Commander anticipates that he will not use already programmed funds, he should immediately notify the ASD/ISA who will recommend reprogramming as appropriate.

2. Short-Notice Operational Approval and Execution.

It is recognized that the Unified Commanders must have maximum feasible flexibility, consistent with applicable laws and regulations, in carrying out H/CA activities under this Directive. Short-notice situations occasionally may arise which, in the judgement of the appropriate commander, require

initiation of an unprogrammed H/CA activity.

Unified Commanders may propose to the OJCS and the ASD/ISA that these unprogrammed requirements be met in lieu of lower priority H/CA activities already programmed for the affected Unified Command. In proposing substitute H/CA projects, commanders should consider the degree to which commitments have already been made to the host nation authorities on previously approved H/CA projects. It shall be the responsibility of the ASD/ISA, in coordination with DoS, AID, or the Country Team, as appropriate, to determine whether circumstances warrant recommending a reprogramming action to the Deputy Secretary of Defense.

G. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Forward one copy of implementation document(s) to the Assistant Secretary of Defense/International Security Affairs within 120 days.

Enclosure - 3

1. Definitions
2. H/CA Unified Command Project Nomination
and Justification Format
3. H/CA Unified Command Quarterly After-Action
Report Format

DEFINITIONS

1. Humanitarian and Civic Assistance (H/CA). Such assistance shall include: medical, dental, and veterinary care provided in rural areas of a country, construction of rudimentary surface transportation systems, well drilling or refurbishing, and construction of basic sanitation facilities; rudimentary construction and repair of public facilities.
2. Military Operation. A military action or the carrying out of a strategic, tactical, service, training, deployment for training, or administrative military mission. For purposes of this Directive it includes military exercises conducted by active and/or reserve component forces.
3. De minimus Activities. Modest activities which incur minimal expenditure of funds for purposes of humanitarian and civic assistance. These are activities on the low end of the assistance scale which have been commonplace in foreign exercises for decades. Examples of such activities include a unit doctor's examination of villagers for a few hours with the administration of several shots and the issuance of some medicine, but not the dispatch of a medical team for mass inoculations. Another example might be the opening of an access road through trees and underbrush for several hundred yards, but not the paving of any roadway.

4. Incidental Expenses. As authorized by Section 8051, Public Law 100-463, the Department of Defense Appropriations Act for FY 1989, operation and maintenance funds may be obligated for humanitarian and civic assistance costs incidental to authorized operations. Commonly known as the Stevens Amendment, this provision is limited to JCS directed or coordinated exercises overseas. Costs associated with Humanitarian and Civic Assistance must be included as a part of the funding available for any single JCS exercise subject to the normal constraints for exercise funding.